

PTO/SB/01 (08-03)

Approved for use through 07/31/2008. OMB 0851-0032

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# DECLARATION FOR UTILITY OR DESIGN PATENT APPLICATION (37 CFR 1.63)

☒ Declaration  
Submitted  
With Initial  
Filing

OR

☐ Declaration  
Submitted after Initial  
Filing (surcharge  
(37 CFR 1.16 (e))  
required)

Attorney Docket Number

30894-101

First Named Inventor

Thomas Peterffy

COMPLETE IF KNOWN

Application Number

N/A

Filing Date

Herewith

An Unit

N/A

Examiner Name

N/A

I hereby declare that:

Each inventor's residence, mailing address, and citizenship are as stated below next to their name.

I believe the inventor(s) named below to be the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

PRICE IMPROVEMENT PROCESSOR FOR ELECTRONIC TRADING OF FINANCIAL  
INSTRUMENTS

(Title of the invention)

the specification of which

☒ is attached hereto

OR

☐ was filed on (MM/DD/YYYY)  as United States Application Number or PCT International
Application Number  and was amended on (MM/DD/YYYY)  (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or (f), or 365(b) of any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent, inventor's or plant breeder's rights certificate(s), or any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?	
				Yes	No
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto.

[Page 1 of 2]

This collection of information is required by 35 U.S.C. 118 and 37 CFR 1.63. The information is required to obtain or retain a patent by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 21 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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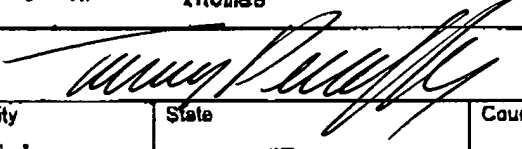
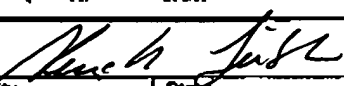
PTO/SB/01 (08-03)

Approved for use through 07/31/2006. OMB 0651-0032

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**DECLARATION — Utility or Design Patent Application**


Direct all correspondence to: <input checked="" type="checkbox"/> Customer Number: <b>26486</b>		OR <input type="checkbox"/> Correspondence address below	
Name			
Address			
City		State	ZIP
Country	Telephone	Fax	
I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.			
NAME OF SOLE OR FIRST INVENTOR:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any)) <b>Thomas</b>		Family Name or Surname <b>Paterffy</b>	
Inventor's Signature 		Date <b>10/29/2003</b>	
Residence: City <b>Greenwich</b>	State <b>CT</b>	Country <b>USA</b>	Citizenship <b>USA</b>
Mailing Address <b>4 Sound Shore Drive #2</b>			
City <b>Greenwich</b>	State <b>CT</b>	ZIP <b>06830</b>	Country <b>USA</b>
NAME OF SECOND INVENTOR:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any)) <b>Ken</b>		Family Name or Surname <b>Leibler</b>	
Inventor's Signature 		Date <b>10/30/03</b>	
Residence: City <b>Chestnut Hill</b>	State <b>MA</b>	Country <b>USA</b>	Citizenship <b>USA</b>
Mailing Address <b>386 Commonwealth Avenue</b>			
City <b>Chestnut Hill</b>	State <b>MA</b>	ZIP <b>02467</b>	Country <b>USA</b>
<input checked="" type="checkbox"/> Additional inventors or a local representative are being named on the <b>1</b> supplemental sheet(s) PTO/SB/02A or 02LR attached hereto.			

(Page 2 of 2)

PTO/SB/02A (08-03)  
Approved for use through 07/31/2009. CMB D881-0032  
U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

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<b>DECLARATION</b>	<b>ADDITIONAL INVENTOR(S)</b> Supplemental Sheet
Page <u>1</u> of <u>1</u>	

Name of Additional Joint Inventor, if any:				<input type="checkbox"/> A petition has been filed for this unsigned inventor			
Given Name (first and middle (if any))				Family Name or Surname			
Luc				Bertrand			
Inventor's Signature 				Date 30 OCT/03			
Residence: City		State		Country		Citizenship	
Baie d'Urfe				CA		Canadian	
Mailing Address 201 Victoria Street							
Mailing Address							
City		State		Zip		Country	
Baie d'Urfe, Province of Quebec				H9X2H7		Canada	
Name of Additional Joint Inventor, if any:				<input type="checkbox"/> A petition has been filed for this unsigned inventor			
Given Name (first and middle (if any))				Family Name or Surname			
Inventor's Signature				Date			
Residence: City		State		Country		Citizenship	
Mailing Address							
Mailing Address							
City		State		Zip		Country	
Name of Additional Joint Inventor, if any:				<input type="checkbox"/> A petition has been filed for this unsigned inventor			
Given Name (first and middle (if any))				Family Name or Surname			
Inventor's Signature				Date			
Residence: City		State		Country		Citizenship	
Mailing Address							
Mailing Address							
City		State		Zip		Country	

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# **POWER OF ATTORNEY and CORRESPONDENCE ADDRESS INDICATION FORM**

Application Number	N/A
Filing Date	Herewith
First Named Inventor	Thomas Peterffy
Title	PRICE IMPROVEMENT PROCESSOR...
Art Unit	N/A
Examiner Name	N/A
Attorney Docket Number	30894-101

I hereby appoint:



Practitioners associated with the Customer Number:

26486

OR



Practitioner(s) named below:

Name	Registration Number

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

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State

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Telephone

Fax

I am the:



Applicant/Inventor.

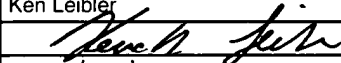
Assignee of record of the entire interest. See 37 CFR 3.71.  
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)

## **SIGNATURE of Applicant or Assignee of Record**

Name

Ken Leibler

Signature



Date

10/30/03

Telephone

(617) 235-2075

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below\*.



\*Total of 3 forms are submitted.

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First Named Inventor	Thomas Peterffy
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Examiner Name	N/A
Attorney Docket Number	30894-101

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The address associated with Customer Number:

OR

Firm or  
Individual Name

Address

Address

City

State

Zip

Country

Telephone

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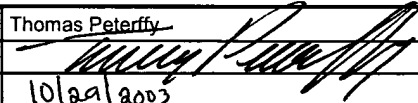
Applicant/Inventor.



Assignee of record of the entire interest. See 37 CFR 3.71.

Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)

## **SIGNATURE of Applicant or Assignee of Record**

Name	Thomas Peterffy
Signature	
Date	10/29/2003
Telephone	(203) 618-5801

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below\*.



\*Total of 3 forms are submitted.

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PTO/SB/81 (09-03)

Approved for use through 11/30/2005, OMB 0851-0035

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Application Number	N/A
Filing Date	Herewith
First Named Inventor	Thomas Peterffy
Title	PRICE IMPROVEMENT PROCESSOR...
Art Unit	N/A
Examiner Name	N/A
Attorney Docket Number	30894-101

I hereby appoint:

☒ Practitioners associated with the Customer Number:

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OR

☐ Practitioner(s) named below:

Name	Registration Number

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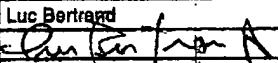
<input type="checkbox"/> Firm or Individual Name					
Address					
Address					
City		State		Zip	
Country					
Telephone		Fax			

I am the:

☒ Applicant/Inventor.

☐ Assignee of record of the entire interest. See 37 CFR 3.71.  
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)

## **SIGNATURE of Applicant or Assignee of Record**

Name	Luc Bertrand		
Signature			
Date	30 OCT 2003	Telephone	514-871-3500

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.

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